



03-08-01

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PTO/SB/05 (08-00)

Please type a plus sign (+) inside this box → ☒Approved for use through 10/31/2002 OMB 065-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

MT 100 CON

First Inventor

Stephen T. Sonis

Title

METHODS AND COMPOSITIONS FOR TREATING AND  
PREVENTING MUCOSITIS

Express Mail Label No.

EL 709 420 295 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 23]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages 4]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Check for \$481.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)of prior application No. 09 / 265,299

Prior application information

Examiner Delacroix Muirheid, C.Group / Art Unit 1614

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been previously omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label23579or ☐ Correspondence address below

PATENT TRADEMARK OFFICE

Name	Patrea L. Pabst Arnall Golden & Gregory, LLP				
Address	2800 One Atlantic Center 1201 West Peachtree Street				
City	Atlanta	State	GA	Zip Code	30309-3450
Country	United States	Telephone	(404) 873-8794	Fax	(404) 873-8795

Name (Print/Type)	Patrea L. Pabst	Registration No. (Attorney/Agent)	31,284
Signature			Date <u>3/7/2001</u>

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

MT 100 CON 9054/11

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$481.00)

## Complete if Known

Application Number	Continuation of 09/265,299
Filing Date	March 7, 2001
First Named Inventor	Stephen T. Sonis
Examiner Name	
Group Art Unit	
Attorney Docket No.	MT 100 CON

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to
- Deposit Account Number 01-2507
- Deposit Account Name Arnall Golden & Gregory, LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$355.00)

## 2. EXTRA CLAIM FEES

Total Claims 34 - 20 = 14 x 9.00 = 126.00

Independent Claims 3 - 3 = 0 x  =

Multiple Dependent  =

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$126.00)

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

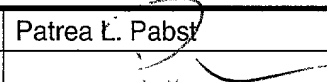
Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Patrea L. Pabst	Registration No. (Attorney/Agent)	31,284	Telephone	(404) 873-8794
Signature		Date	3/7/2001		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Stephen T. Sonis and Edward G. Fey

Serial No: Continuation of 09/265,299 Express Mail Label  
No. EL 709 420 295 US

Filed: March 7, 2001 Date of Deposit: March 7, 2001

For: METHODS AND COMPOSITIONS FOR TREATING AND  
PREVENTING MUCOSITIS

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

REQUEST FOR FILING A CONTINUATION APPLICATION  
UNDER 37 C.F.R. § 1.53(b)

Sir:

This is a request for filing a continuation application under 37 C.F.R. § 1.53(b), of  
copending prior application U.S.S.N. 09/265,299 filed March 9, 1999, entitled "*Methods and  
Compositions for Treating and Preventing Mucositis*", by Stephen T. Sonis and Edward G. Fey.  
The application includes 1 page of abstract, 15 pages of specification, 7 pages of claims,  
1 sheet of formal drawing, and a copy of the corrected executed Declaration for Patent  
Application from prior application U.S.S.N. 09/265,299 from each of (1) Stephen T. Sonis;  
and (b) Edward G. Fey. An unexecuted Power of Attorney or Authorization of Agent by  
Mucosal Therapeutics LLC is also enclosed. The executed Power of Attorney or Authorization  
of Agent by Mucosal Therapeutics LLC will be submitted shortly.

Continuation of U.S.S.N. 09/265,299  
Filed: March 7, 2001  
**REQUEST FOR FILING A CONTINUATION**  
**APPLICATION UNDER 37 C.F.R. § 1.53(b)**  
Express Mail Label No. EL 709 420 295 US  
Date of Deposit: March 7, 2001

Pursuant to 37 C.F.R. § 1.63(d), the copy of the executed Declaration included in the new application is a copy of the executed Declaration filed in parent application Serial No. 09/265,299, to which the new application claims benefit.

A Preliminary Amendment and an Information Disclosure Statement are enclosed.

Applicants also enclose from prior application U.S.S.N 09/265,299 filed March 9, 1999, copies of the (a) executed Assignment from Stephen T. Sonis and Edward G. Fey to Mucosal Therapeutics LLC, recorded August 30, 1999, at Reel 010209, Frame 0099; and (b) executed Statement Under 37 C.F.R. § 3.73(b) by Mucosal Therapeutics LLC.

This application is entitled to small entity status pursuant to 37 C.F.R. § 1.27.

Submitted with the new application are a (1) check in the amount of \$481.00 to cover the filing fee for a small entity; (2) Fee Transmittal (PTO/SB/17); and (3) Utility Patent Application Transmittal (PTO/SB/45). It is believed that \$481.00 is the proper filing fee for a small entity, as the application includes 3 independent claims and a total of 34 claims after entry of the enclosed Preliminary Amendment.

The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Order Account No. 01-2507. To facilitate this process, applicants have enclosed a duplicate of this letter.

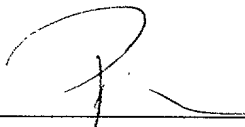
Continuation of U.S.S.N. 09/265,299  
Filed: March 7, 2001  
**REQUEST FOR FILING A CONTINUATION  
APPLICATION UNDER 37 C.F.R. § 1.53(b)**  
Express Mail Label No. EL 709 420 295 US  
Date of Deposit: March 7, 2001

This application is being filed on March 7, 2001, by mailing the application to Box  
Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231 via the United  
States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10.  
The Express Mail label number appears in the heading of this paper which is attached to the  
application papers pursuant to 37 C.F.R. § 1.10(b).

All correspondence concerning this application should be mailed to:

Patrea L. Pabst, Esq.  
ARNALL GOLDEN & GREGORY, LLP  
2800 One Atlantic Center  
1201 West Peachtree Street  
Atlanta, Georgia 30309-3450

Respectfully submitted,

  
\_\_\_\_\_  
Patrea L. Pabst  
Reg. No. 31,284

Date: March 7, 2001

ARNALL GOLDEN & GREGORY, LLP  
2800 One Atlantic Center  
1201 West Peachtree Street  
Atlanta, Georgia 30309-3450  
(404) 873-8794  
(404) 873-8795 (fax)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Stephen T. Sonis and Edward G. Fey

Serial No: Continuation of 09/265,299

Express Mail Label  
No. EL 709 420 295 US

Filed: March 7, 2001

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For: METHODS AND COMPOSITIONS FOR TREATING AND  
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BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**REQUEST FOR FILING A CONTINUATION APPLICATION  
UNDER 37 C.F.R. § 1.53(b)**

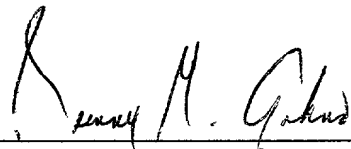
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Continuation of U.S.S.N. 09/265,299  
Filed: March 7, 2001  
**REQUEST FOR FILING A CONTINUATION**  
**APPLICATION UNDER 37 C.F.R. § 1.53(b)**  
Express Mail Label No. EL 709 420 295 US  
Date of Deposit: March 7, 2001

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

I hereby certify that this REQUEST FOR FILING A CONTINUATION APPLICATION UNDER 37 C.F.R. § 1.53(b) and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, March 7, 2001, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Number EL 709 420 295 US addressed to Box Patent Application, Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231.

  
\_\_\_\_\_  
Sunny G. Johns

Date: March 7, 2001

Continuation of U.S.S.N. 09/265,299  
Filed: March 7, 2001  
**PRELIMINARY AMENDMENT**  
Express Mail Label No. EL 709 420 295 US  
Date of Deposit: March 7, 2001

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

I hereby certify that this PRELIMINARY AMENDMENT and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, March 7, 2001, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Number EL 709 420 295 US addressed to Box Patent Application, Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231.

  
\_\_\_\_\_  
Sunny G. Johns

Date: March 7, 2001